10/29-03



Express Mail No. EL612596502US

PTO/SB/21 (08-03) Approved for use through 08/30/2003. OMB 0651-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE e Paestwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. Application Number 09/749.286 Filing Date TRANSMITTAL December 26, 2000 **FORM** First Named Inventor Gene R. Anderson Art Unit 2878 (to be used for all correspondence after initial filing) **Examiner Name** Pyo, Kevin K. Attorney Docket Number 1613370-0009 Total Number of Pages in This Submission **ENCLOSURES** (Check all that apply) After Allowance communication Drawing(s) Fee Transmittal Form to Technology Center (TC) Appeal Communication to Board Licensing-related Papers Fee Attached of Appeals and Interferences Appeal Communication to TC Petition (Appeal Notice, Brief, Reply Brief) Amendment/Reply Petition to Convert to a Proprietary Information After Final Provisional Application Power of Attorney, Revocation Status Letter Affidavits/declaration(s) Change of Correspondence Address Other Enclosure(s) (please **Terminal Disclaimer** Extension of Time Request Identify below): Copies of 5 Prior Art References PTO Forms \$808A / 08B Request for Refund **Express Abandonment Request** Return Postcard CD, Number of CD(s) Information Disclosure Statement Remarks Certified Copy of Priority Document(s) Response to Missing Parts/ Incomplete Application Response to Missing Parts under 37 CFR 1.52 or 1.53 SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT Firm James M. Wu, Reg. No. 45,241 White & Case LI Individual name Signature Date October 27, 20 CERTIFICATE OF TRANSMISSION/MAILING VIA EXPRESS MAIL I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below. Typed or printed name Christina Ishihara Date October 27, 2003 Signature

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Gene R. Anderson, et al.

Serial No.: 09/749,286

Group Art Unit: 2878

Filed: December 26, 2000

Examiner: Pyo, Kevin K.

For: Optical Power Control System

White & Case Docket No.: 1613370-0009

I hereby certify that this paper is being deposited with the United States Postal Service as Express Mail No. EL612596502US in an envelope addressed to: Mail Stop I.D.S., Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on October 27, 2003

Christina Ishihara

Name

October 27, 2003CF

Date

Date

CENT

ENT

INFORMATION DISCLOSURE STATEMENT

Mail Stop I.D.S. Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure imposed by 37 C.F.R. § 1.56 to inform the Patent Office of all references coming to the attention of Applicants or attorneys or agents for Applicants which are or may be material to the examination of the subject application, Attorneys for Applicants hereby invite the Examiner's attention to the reference(s) listed on the accompanying PTO Form SB/08A and SB/08B.

Identification of references listed on the attached PTO form is not to be construed as an admission of Applicants or attorneys for Applicants that such references are material or available as prior art against the subject application. The right is reserved to antedate any item in accordance with standard procedure.

This submission is understood to complement the results of the Examiner's own independent search. The submission should not be construed as a representation that a search was made, or that the cited items are inclusive of all the relevant and material citations that may be available publicly.

Copies of the cited references are enclosed. Applicants respectfully request that the Examiner review the attached references and that they be made of record in the file history of the above-captioned application.

In connection with the filing of this Information Disclosure Statement,

Applicants believe that there is no fee due. However, should there be a required fee the

Commissioner is hereby authorized to charge White & Case LLP Deposit Account No. 23
1703.

Dated: October 27, 2003

James M. Wu/ (Reg. No. 45,241)

White & Case LLP

1155 Avenue of the Americas New York, NY 10036-2787

(650) 213-0302

PTO/SB/08A (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

& TP Substitute for form 1449/PTO

Sheet 1

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

of 2

| Complete if Known      |                   |  |  |  |
|------------------------|-------------------|--|--|--|
| Application Number     | 09/749,286        |  |  |  |
| Filing Date            | December 26, 2000 |  |  |  |
| First Named Inventor   | Gene R. Anderson  |  |  |  |
| Art Unit               | 2878              |  |  |  |
| Examiner Name          | Pyo, Kevin K.     |  |  |  |
| Attorney Docket Number | 1613370-0009      |  |  |  |

|                    |  | <u> </u>                       |  | DOCUMENTS   |                  |
|--------------------|--|--------------------------------|--|---|------------------|
| Examiner Cite No.1 | Document Number  Number-Kind Code <sup>2 (# known)</sup> | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |                  |
|                    | <u> </u>   | US- 6,461,058 B1               | 10-08-2002   | Birch et al.  |                  |
| ,                  | -  | US-                            |  | Bron ot al.   |                  |
|                    |  | US-                            |  |   |                  |
|                    | <del> </del>   | US-                            |  |   |                  |
|                    |  | US-                            |  |   |                  |
|                    |  | US-                            |  |   | -                |
|                    |  | US-                            |  |   | in               |
|                    | <u> </u>   | US-                            |  |   | NOV REC          |
|                    |  | US-                            |  |   | 3 7 70           |
|                    |  | US-                            |  |   | NOV OFFICE       |
|                    |  | US-                            |  |   | <b>→</b> 1 m     |
|                    | <del> </del>   | US-                            |  |   | CENTER<br>CENTER |
|                    | 1  | US-                            |  |   |                  |
|                    | 1  | US-                            |  |   | # # B O          |
|                    |  | US-                            |  |   | 8<br>0<br>0      |
|                    |  | US-                            |  |   | 6                |
|                    | 1  | US-                            |  |   |                  |
|                    |  | US-                            | -  |   |                  |
|                    |  | US-                            |  |   |                  |

| Examiner Cite | Foreign Patent Document | Publication Date  | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines,<br>Where Relevant Passages | T                          |   |
|---------------|-------------------------|---|--|---|----------------------------|---|
|               |                         | Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known) | MM-DD-YYYY   |   | Or Relevant Figures Appear | T |
| -             |                         | EP 0 259 888 A2   | 03-16-1988   | NEC Corporation                                   |                            |   |
|               |                         | EP 0 607 700 A  | 07-27-1994   | Semicond. Laser                                   |                            |   |
|               |                         | EP 0 710 861 A1   | 05-08-1996   | Sumitomo Elect.                                   |                            | L |
|               |                         |   |  |   |                            | ┡ |
|               |                         | <del></del>   |  |   | ,                          | ₽ |

|           | <br>       |  |
|-----------|------------|--|
| Examiner  | Date       |  |
| Signature | Considered |  |
|           |            |  |

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered, include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

11 200 E

PTO/SB/08B (08-03)
Approved for use through 07/31/2006, OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
a collection of information unless it contains a valid OMB contains.

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMER Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control numbers.

| Substitute for form 1449/PTO |                                   |           |                      | Complet if Known       |                   |  |
|------------------------------|-----------------------------------|-----------|----------------------|------------------------|-------------------|--|
| Cossilia                     | Constitute for form 144597 TO     |           | Application Number   | 09/749,286             |                   |  |
|                              |                                   |           | CLOSURE              | Filing Date            | December 26, 2000 |  |
| STA                          | STATEMENT BY APPLICANT            |           | First Named Inventor | Gene R. Anderson       |                   |  |
|                              | (Use as many sheets as necessary) |           |                      | Art Unit               | 2878              |  |
|                              | (Use as many sne                  | et3 43 // |                      | Examiner Name          | Pyo, Kevin K.     |  |
| Sheet                        | 2                                 | of        | 2                    | Attorney Docket Number | 1613370-0009      |  |

|                       |                          | NON PATENT LITERATURE DOCUMENTS   |                |
|-----------------------|--------------------------|---|----------------|
| Examiner<br>Initials* | Cite<br>No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T <sup>2</sup> |
|                       |                          | CHEONG, J-M et al.; High Alignment Tolerance Coupling Scheme for Multichannel Laser Diode/Singlemode Fibre Modules Using a Tapered Waveguide Array; Electronics Letters; IEE Stevenage; GB; Vol. 30; No. 18; September 1, 1994; pgs. 1515-1516                  | ,              |
|                       |                          |   |                |
|                       |                          |   |                |
|                       |                          | TE  |                |
|                       |                          | NOV - 3 ZOUS  | RE             |
|                       |                          | GY CEA  | CEIVE          |
| ***                   |                          | ۲۵<br>ا   | ED             |
|                       |                          | 00  |                |
|                       |                          |   |                |
|                       |                          |   |                |

| Examiner  | Da | Date       |
|-----------|----|------------|
| Signature | C  | Considered |

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.